



January 3, 2005

Durham Local Area Guidance Letter No: 04-2004

Subject: WIA Participant Record Keeping Requirements and Instructions

Purpose: To establish a formal record keeping system for participant files that complies with the State of North Carolina Division of Employment and Training Local Area Issuance No. 2004-17.

Background: In August 2003, the U.S. Department of Labor initiated data element validation requirements for WIA Employment and Training programs. In response to new DOL policy, the North Carolina Division of Employment and Training established data validation requirements for all local areas in North Carolina. Local Area Issuance 2004-17 establishes NCDET requirements that local areas in North Carolina develop and implement a formal WIA participant file structure policy and file checklist.

Action: All Durham Local Area contract vendors must comply with WIA participant file structure policies. Contractors must ensure all participant files are updated to the new file structure system in this policy letter for the following cohorts:

- a. Participants enrolled in WIA on or after July 1, 2004- New record keeping requirements (new file folders, file structure, document labeling, etc.) apply to these files. Complete by March 31, 2005.
- b. Participants exited between April 1, 2003 and June 30, 2004. File conversion complete by October 1, 2005. Files do not have to be converted to the new file folder but must meet all other requirements including the following:
 - i. Signed and dated Intake form
 - ii. Data validation labels placed on documents
 - iii. Files sections and table of content
- c. Participants exited prior to April 1, 2003-No changes.

Effective Date: Immediately

Expiration Date: Indefinite

Contact: James Wragge, Program Operations Manager

Distribution: WIA Service Providers

A handwritten signature in black ink, appearing to read 'Pat E. Sturdivant', is written over a light gray rectangular background.

**Pat E. Sturdivant
Workforce Development Administrator**

Attachment

101 City Hall Plaza
Durham, NC 27701
Phone: 919-560-4965
Fax: 919-560-4986

I. File Structure

A. File Folders

File folders authorized for use by WIA Title I-B Adult, Dislocated Worker, and Youth program service providers in the Durham Local Area will have at least four distinct sections. If service providers need additional space for agency specific documents, files may contain up to six sections. It is recommended that a six section file folder be used.

B. Data validation coding system

The North Carolina Division of Employment and Training has assigned field codes to all data validation elements according to the following cohorts and categories and U.S. DOL's reference number for each data element.

Cohorts:

- A Aadults
- DW Dislocated Workers
- OY Older Youth
- YY Younger Youth

Categories

- E Eligibility/Intake/Application
- A Employment Activity
- XP Exit and Post-program Activities

Thus, an adult's date of birth would be coded AE-2 (where A= adult, E=Eligibility/intake/application, and 2=the U.S DOL reference number for date of birth.) A copy of the source document used to verify date of birth will be labeled with a red colored dot with AE-2 printed on it.

C. Color Coding system

A requirement of the state data validation policy is that all data validation documents be labeled with the data validation coding system developed by the North Carolina Department of Employment and Training (NCDET). To comply with this requirement the Durham Local Area will utilize colored dots with printer generated letters and numbers. Colored dots will be placed on the bottom right hand corner of the data validation source document (some documents may contain more than one dot). Color coded dot sheets will be stapled to the inside of the folder on the same section that the table of content is located. Program colors are as follows:

- Adult Program-Red
- Dislocated Worker Program-Green
- Older Youth Program-Dark Blue
- Younger Youth Program-Light Blue



D. Participant folder label

Participant folders will be labeled using 9/16" by 3 7/16" file folder labels. Labels will contain the following information:

- Participant Name (Program Abbreviation) Contractor Code
- Program Year of Enrollment

Example:

Doe, John (AW)	ESC
PY 04	

Program Codes:

- Adult Program (AW)
- Dislocated Worker Program (DW)
- Older Youth Program (OY)
- Younger Youth Program (YY)

II. File Sections

A. Table of Content

The location of the data validation table of contents form in the file folder will vary depending on the number of sections in the folder. If a four section file folder is used the TOC will be the first sheet in section one, if a six section file folder is used, the table of content form is placed in the first section by itself.

This form lists all data validation elements for a particular program. The table of content is divided into six columns these are, file section, field code, reference number, data element, WF+ data source field selection, and verification required. WIA staff is required to complete the "verification required" column for each data validation element by entering "Yes" or "No" into the column. Information on whether a data validation element is required can be obtained from information entered into the WorkforcePlus management information system (MIS). The "WF+ Data Source Field Selection" column identifies the field answer that determines if source documentation must be placed in the folder for a particular data validation element. For example, if TANF is marked "Yes" on the intake application a "Yes" is placed in the "Verification Required" column for YYA-8 on the table of content and the appropriate verification documentation is placed in the correct order under the section I cover sheet. If the field is marked "No" on the intake application a "No" is placed in the "Verification Required" column and no verification documentation is required.

B. Section I Cover Sheet

The section I cover sheet is placed on the second section of the file folder if a six section file folder is used. If a four section file folder is used this sheet will be placed under the table of content. The documents listed on this sheet will be filed in the same order as they appear on the list.

The Workforce plus intake form must be a printout of the complete intake/application form after it has been entered into WorkforcePlus and the applicant certified as eligible. The intake form must be signed and dated by the applicant, intake staff, and parent/guardian if applicable. At no time should the intake/application form be re-printed after it has been signed and dated by all parties. Any changes to information on the intake/application form in WorkforcePlus other than customer contact information must be approved by local area staff.

C. Section II Cover Sheet

Documents listed on this sheet will be filed in the same order as they appear on the list. All documents in this section will be printed after WIA exit and labeled appropriately.

All forms in this section will be printed after WIA exit (not before) and placed in the appropriate order and pre-printed color labels will be placed on each data validation document as per local area policy.

D. Section III Cover Sheet

Documentation requirements in this section vary by program. For the adult and dislocated worker programs, this section does not contain any data validation documentation; therefore, organization of documents is up to the discretion of the career advisor.

For the older and younger youth programs, data validation documentation is filed as it appears on the section III cover sheet. All forms in this section will be printed after WIA exit (not before) and placed in the appropriate order; pre-printed color labels will be placed on each data validation document as per local area policy.

E. Section IV Cover Sheet

Documentation requirements in this section vary by program. For the adult and dislocated worker programs documents listed on this page will be filed in the same order as they appear on the cover sheet.

For the older and younger youth programs, this section does not contain any data validation documentation; therefore, organization of documents is up to the discretion of the youth specialist.

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